



JOB DESCRIPTION

State Form 52468 (12-05)

This document is used to provide a basic description of essential duties and other work elements.

Employee Name:		
Agency: Secretary of State		BU: 00040
Division: Securities	Section/District:	
Job Title: Chief Compliance Officer		Job Code:
Working Title (if different from above):		
Reports To: Chief Deputy Commissioner		
FLSA Status: <input checked="" type="checkbox"/> Non-Exempt (OT Eligible) <input type="checkbox"/> Exempt		Effective Date :

Purpose of Position/Summary:

Oversee the day to day activities of the Compliance Officers

Essential Duties/Responsibilities:

The Chief Compliance Officer, in addition to their Compliance Officer duties, will be the supervisor of the compliance officers. After receipting, all filings will be given to the chief compliance officer, who will assign them to the compliance officers based on the area of specialty and other factors. The chief compliance officer will track the completion of all assignments and prepare a daily report to be sent to the Commissioner and Chief Deputy Commissioner. In this assigning and tracking role, the chief compliance officer will address performance issues with the other compliance officers, such as quality of work and timeliness of completion. The chief compliance officer will also be responsible for resolving any registration issues that may arise and any complaints, whether from the Securities Division or from the public.

Other duties may include supervision of seasonal workers (interns, fellows, or temporary employees), assisting in registration work, training new employees, and receipting if needed.

Job Requirements:

High School Diploma

Supervisory Responsibilities/Direct Reports:

Compliance officers

Difficulty of Work:

Fluctuates based on registration cycles.

Responsibility:

Strong customer service skills

Microsoft Office

Personal Work Relationships:

Works closely with the Commissioner, Chief Deputy, Registrations Attorney and the Loan Broker Examiner

Physical Effort:

N/A

Working Conditions:

N/A